



eZ-Audit Transition To Support (TTS) Plan

Version 1.1

March 25, 2003

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INTRODUCTION

Purpose

This document is to be used as a planning tool for transitioning the eZ-Audit system from development to the eventual support organization for operations and maintenance. This document outlines the planning and managing steps necessary for an effective transition. Ultimately, this Plan will assist Federal Student Aid (FSA) with ensuring the necessary support resources are identified, budgeted for, available when needed, and properly equipped to accept responsibility of the eZ-Audit system products in time to deliver uninterrupted support to FSA or institutional users.

At this time, March 25, 2003, the need to identify and procure the services of a long term operating partner are not yet required. The Integration Partner has been tasked with Stabilization Support through 5/9/03 and Peak Processing Support through 9/30/03. This document will be updated as required via the Stabilization and Peak Processing Support efforts.

Transition activities are broken into two distinct phases: Planning and Transitioning. Accordingly, this Plan describes the steps in each phase. Planning activities may begin as early as the Vision phase, but must have begun by Construction. Transitioning activities will start to occur during Testing.

This Plan should be updated throughout the Planning phase as more is known about the TTS activities and scope. This Plan should be executed against during the Transitioning phase.

The following organizations will be referenced throughout this document:

- **Acquiring Organization**- this organization sponsored the development of the new solution and will ultimately have ownership over the eZ-Audit system. The acquiring organization is the Schools Channel within FSA.
- **Development Contractor**- This organization is contracted by the acquiring organization to design, built, test, and deploy the eZ-Audit system into production. The development contractor will be responsible for transitioning all functional and technical knowledge and products to the Maintenance Contractor. The Development Contractor is Modernization Partner (Accenture).
- **Maintenance Contractor**- This organization is contracted by the acquiring organization to perform operations and maintenance on the developed, tested, and accepted system that was built by the development contractor. The maintenance contractor is responsible for providing the appropriate resources to support the eZ-Audit system. The maintenance contractor will be required to participate in the transition activities in order to acquire all functional and technical expertise necessary to operate and maintain the eZ-Audit system without interruption to end users.

References

The following documents were used in the development of this Plan:

- eZ-Audit Business Case, Version 1.0b, September, 26, 2002
- e-Audit Project Plan (Vision Document), Version 1.1, February 25, 2002
- e-Audit Technical Proposal – Task Order #86, Mod . 01, May 23, 2002
- TTS Process Guide, Version 1.0, February 21, 2002

Acquisition summary

The Department of Education is authorized to collect financial statements and compliance audits from the 6,500 proprietary, non-profit and public institutions that participate in its Title IV programs. The eZ-Audit solution seeks to automate this heavily paper-based, manual process by providing a paperless single point of submission, receipt and access for financial statements and compliance audits by ensuring the following:

- Fully accessible, web-based application to replace current manual operations
- Electronic data capture to minimize errors, reduce paper, and eliminate lost documents
- Automated workflow tools to decrease backlogs, shorten cycle times, and balance resources
- Integrated business rules for improved decision-making throughout the review process
- User-friendly interfaces to reduce the manual data entry points and improve data access
- Data Store to eliminate duplicate data and immediately identify missing or late documents

The solution will fully or partially automate two distinct review processes led by two groups within Student Financial Assistance. These groups are Case Management and Oversight (CMO), staffed with over 200 Federal employees, and the Document Receipt and Control Center (DRCC) operated by 24 contractors.

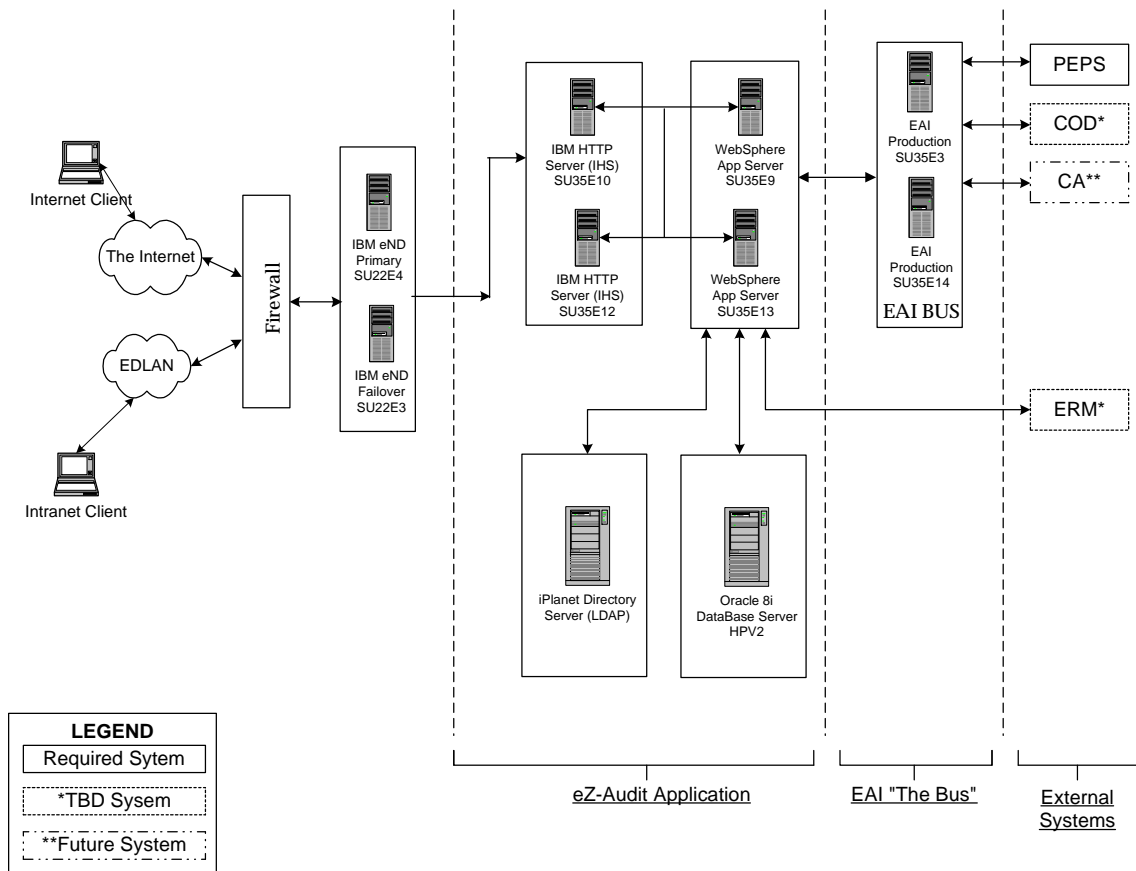
This initiative will build off of the success of related applications that are in use at the Housing and Urban Development (HUD) Agency and the Securities and Exchange Commission (SEC).

This initiative also directly aligns with Goal 4 of the Department of Education's Strategic Plan for 2001-2005. As the objectives state for **Data collection and Information Management**;

- *Provide support, coordination, and direction to data improvement efforts to promote agency-wide standards-based information management. Convert to data collections allowing electronic responses; consolidate our data collections; improve the timeliness of our information dissemination; and assist in collaboration with our state and local education partners in the definition and implementation of data and information sharing.*
- *Initiate an agency-wide data quality effort to measure the quality of data, identify data cleanup opportunities, and help prioritize additional data quality initiatives. Audit existing legacy databases*

for completeness and validity, structural integrity, and data conformance to business rules, which has never been done heretofore.

The eZ-Audit system is a web-based solution built upon the standard FSA architecture. The diagram below depicts the eZ-Audit systems architecture.



Transition To Support Objectives

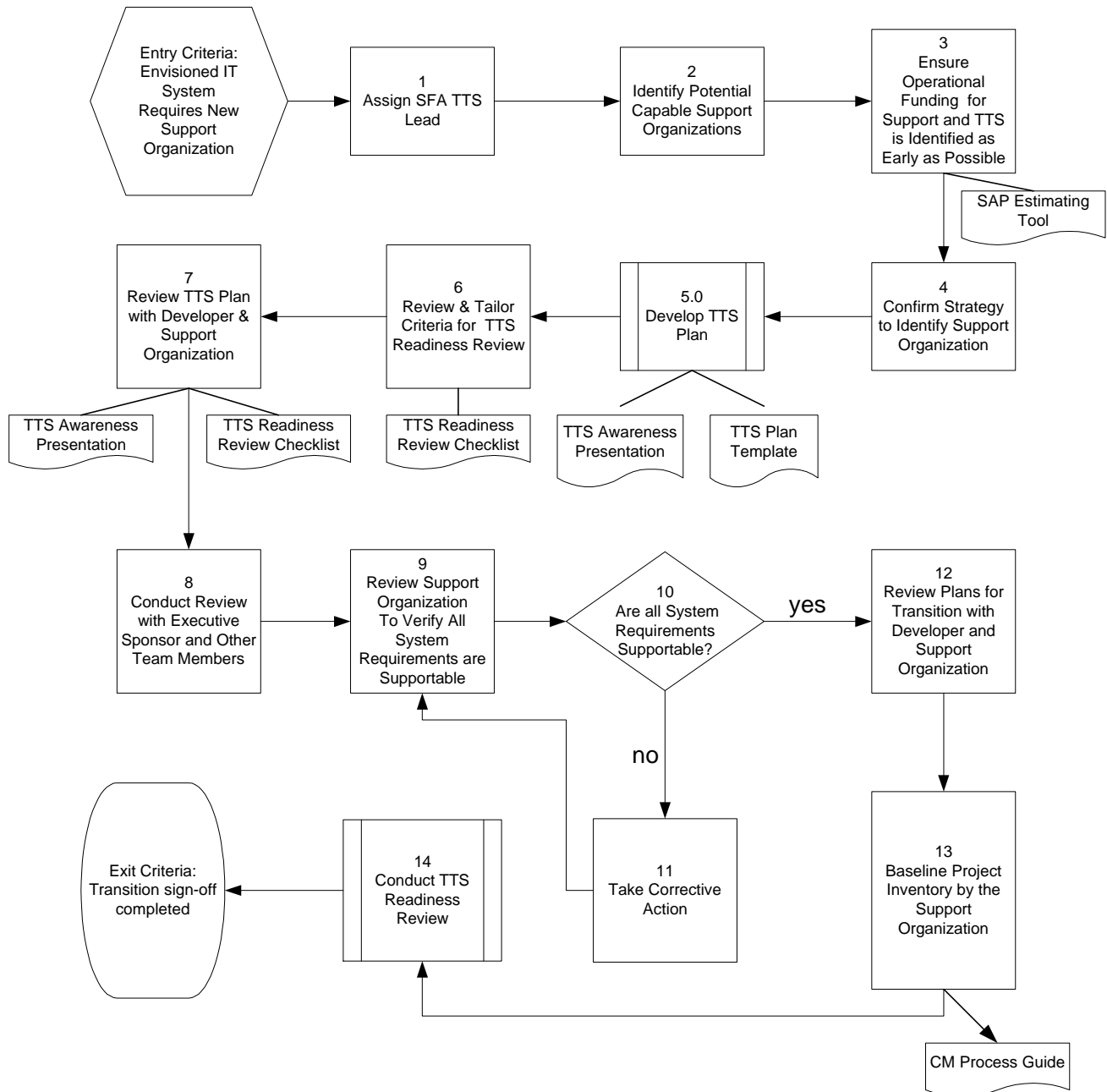
As a result of following this Plan, the acquiring organization should be able to successfully accomplish the following objectives:

- Select appropriate resources to coordinate and manage the transition activities
- Develop (or finalize) the budget for operations and maintenance of the eZ-Audit application
- Prepare a Transition Workplan and Schedule that outlines formal transition activities and timeframes to ensure the support organization has the functional and technical training to take over support of the system

- Develop a Project Inventory List to catalogue all software, hardware, and other technologies required for the new eZ-Audit solution including product descriptions, versions, and licensing information
- Prepare a Transition Readiness document to guide the formal transition activities between the development and maintenance contractors

Transition to Support Process

The diagram displayed below conveys the Transition To Support process embraced by FSA as part of the Solutions Life Cycle (SLC).



Constraints/Risks

Although adherence to this Plan helps to prepare the acquiring organization for a smooth transition of the eZ-Audit system from development to maintenance, risks still exist and should be mitigated. Following is a list of potential risks that, if left unattended, could result in interruption of service to eZ-Audit system stakeholders.

Risk	Mitigation
Maintenance Contractor is not sourced in time to assume operations of eZ-Audit system in the Fall of 2003.	It has been determined that the sourcing activities will begin in the Stabilization Support phase of the contract – allowing for an in-place operating partner by the Fall of 2003. Follow Action Steps included in this Plan.
Proper funding is not secured in time to award the maintenance contractor.	Determine detailed funding estimates as soon as possible in the TTS process. Once estimates are finalized, ensure necessary funds are earmarked for eZ-Audit.
Maintenance Contractor resources do not have appropriate skill levels to adequately handle support of eZ-Audit application.	Develop role descriptions and skills required and ensure maintenance contractor has trained or hired resources that meet the required skill levels.

PLANNING

Identify Team Lead

Planning and managing the transition to support activities requires centralized coordination among one or two individuals. Usually one Team Lead is selected from the acquiring organization and one is selected from the development contractor organization. These individuals should be designated as TTS Team Leads to coordinate the activities of the various parties involved in the transition to support. The Team Leads' roles take effect as soon as possible in the development lifecycle to begin planning the transition activities.

The following skills will be required for the Team Lead role:

FSA eZ-Audit TTS Team Lead Skills Required:

- Detailed understanding of the eZ-Audit system and business processes
- Detailed understanding of FSA's contracting process
- Detailed awareness of FSA's Task Order(s) for eZ-Audit maintenance and operations work
- Moderate understanding of the functional and technical e-Zaudit solutions

Mod Partner eZ-Audit TTS Team Lead Skills Required:

- Detailed understanding of the eZ-Audit system and business processes
- Detailed understanding of the functional and technical eZ-Audit solutions
- Detailed understanding of TO 86 & TO 116 deliverables and timelines

The following are the responsibilities of the Team Lead role:

FSA eZ-Audit TTS Team Lead Responsibilities:

- Define and manage transition-to-support milestones
- Train and delegate transition tasks to members of the FSA Core Team or others within FSA
- Develop budget estimates
- Coordinate the selection process for the support organization
- Secure funding through appropriate FSA Channels
- Coordinate the transition sign-off

Mod Partner eZ-Audit TTS Team Lead Responsibilities:

- Define and manage transition-to-support milestones
- Develop and execute a transition workplan and schedule
- Make Mod Partner staff available for transition activities
- Train and delegate transition tasks to members of the Mod Partner eZ-Audit Team or others within Mod Partner
- Coordinate the transition training including walkthrough sessions (or other appropriate training vehicles) to transition functional and technical expertise to the maintenance organization
- Coordinate the solution product inventory and hand-over to the maintenance organization
- Develop process to track production issues and develop fixes for those issues

The manpower required during the Planning phase is relatively light. During Planning, the manpower required consists mainly of the TTS Leads' time, and is estimated at 0.25 FTE. During Construction of the system, the manpower estimate is for 1 out of 5 developers for 4 weeks to become familiar with the development work of others and be available for questions. The maintenance organization must provide 1 out of 5 developers for one week for similar activities. During the Transitioning phase, manpower estimates are 0.50 FTE managerial time for both the development and maintenance contractor, and 2 – 6 full-time business days for each team member to undergo transition activities.

ACTION:

Select FSA and Mod Partner TTS Team Leads. Discuss skills and responsibilities required for the role.

Resources

A critical step during the Planning phase is determining potential maintenance organizations to take over support of the eZ-Audit application. Before this sourcing can be conducted, a specific description of the operations work must be written and the skills required must be identified.

For the eZ-Audit system, several questions must be answered to identify the scope of the operations and maintenance work:

- What functions will the maintenance organization assume?
 - Document Receipt and Screening - No
 - Help Desk - No
 - Tier 2 User Support (problems with the eZ-Audit application such as loss of financial or audit data) - Yes
 - Systems Operations - Yes
 - Systems Maintenance - Yes
 - Database Administration – Yes; with assistance of FSA Staff
 - Error Handling- Logging and Tracking Application Problems - Yes
 - Data Center Operations – No; this is handled by the VDC.
 - Desktop/Network Technical Support – No; this is handled via the FSA Support Center.
 - Tier 1 Help Desk Support (password failures, network problems, operating system issues); Yes – with assistance of VDC personnel.
 - Installation of Software Upgrades or Enhancements; Yes – via VDC coordination and VDC software migration procedures.
- When will the maintenance contractor begin operations? Fall of 2003
- Will the development contractor assume operations until the application is “stable”? Yes.
- If so, what are the transition dates and/or criteria? Transition to an operating partner will be made upon completion of Stabilization Support (4/1 – 5/9/03) and Peak Processing Support (5/10 – 9/30/03).
- What are the requirements for the maintenance work? This has yet to be determined and will be better defined upon assessment and triage of existing non-deployed requirements; the assessment and bundling of requirements will be performed during the Stabilization and Peak Processing Support periods – as time permits. Priority will be given to system defects; remaining resource availability will focus on future capability deployment.

A major driver in determining the required level of effort needed to execute a successful transition is the skill levels of the maintenance staff. The following skill levels are required to support the eZ-Audit system in production:

- Oracle 8 DBA
- Websphere Technical Architect
- Websphere Application Programming with skill in Java Beans
- eZ-Audit Business Knowledge
- Project Management
- Configuration Management

Funding

Funding for the system operations and maintenance should be secured as soon as possible. Resource scarcity and other risks could threaten the availability of funding. Funding estimates from the original project Business Case can be used as a starting point. Current estimates (March 25, 2003) for annual eZ-Audit system operations and maintenance are included below:

- VDC Support \$160,000
- Miscellaneous / Security \$ 15,000
- Operating Partner \$ 750,000

The original Business Case used the following assumptions:

COSTS						
	BY	BY+1	BY+2	BY+3	BY+4	Total
Development	\$ 3,489,608					\$ 3,489,608
Operations						
Prod. Proc		319,275				319,275
Sys. Maint. & Support			160,000	160,000	160,000	480,000
Help Desk		95,000	125,000	125,000	125,000	470,000
Data Center		360,000	360,000	360,000	360,000	1,440,000
Security Assessment		15,000	15,000	15,000	15,000	60,000
License Renewal			40,000	40,000	40,000	120,000
Total	3,489,608	789,275	700,000	700,000	700,000	6,378,883
Assumptions						
<ol style="list-style-type: none"> 1. Production Processes include 90 days of production support. 2. System maintenance and support includes estimated cost for license renewal (\$40,000) if necessary and ongoing developer costs (\$160,000) for maintenance and approximately 2 FTE for help desk support. 3. Data Center costs based on estimated \$30,000/mo for the 3500 Sun Server. Cost may be reduced if other applications share the server at the time of implementation. 						

The following components should be considered to update the funding estimate:

- Manpower by skill class
- Special Training Requirements
- Hardware, Software, Communications, and Licensing Costs
- Office Space
- Contract Loading Fees

IT manpower costs are very volatile depending on the rareness of a particular skill. Loading fees, office space, and IT hardware, software, and licensing fees also vary by vendor and type of contract. As time passes the initial estimates can be adjusted due to both a better understanding of the manpower/skill requirements and the market.

ACTION STEPS: *Confirm required funding levels to support maintenance and operations work. Ensure funding is secured.*

Contracting

Once the resources are identified and the funding has been secured, the contracting vehicles must be established. FSA should follow normal contracting procedures to source and retain a qualified solutions support organization.

ACTION STEPS: *Get support organization contracting vehicle established.*

TRANSITIONING

Transition Approach

The transition is a collaborative effort among the FSA, Mod Partner, and the maintenance contractor. The goal of the transition is to adequately prepare the maintenance contractor with all the necessary functional and technical knowledge to be able to assume operations of the eZ-Audit system without interruption to the user community.

The approach for completing the transition consists of multiple knowledge transfer activities, including:

- **Kick-Off Meeting** – A Kick-Off meeting will be conducted among all transition parties. The goals of the meeting are to establish the transition ground rules, confirm the work plan for the transition effort, determine the transition schedule and set expectations for sign-off criteria. All parties should attend this meeting with specific lists of what topics they want covered during the technical exchange meetings.
- **Technical Exchange Meetings**- Meetings will be scheduled as needed to cover special topics, as identified during the Kick Off Meeting. Minutes will be taken at all meetings and lists of Action Items will be kept and reviewed.
- **Documentation reviews** (1 week) – Parties will schedule document walkthrough sessions for all design documentation and other deliverables to provide an overall orientation, review content, and field questions real-time. This includes physical deliveries of documentation in both hard and soft copy.
- **Hands-on Demonstrations** (1 week) – Opportunities to view or operate the system should be scheduled, including database walkthroughs, code reviews, and test script execution.

- **Shadowing and co-piloting** (2 weeks)– The transition should be structured so that the maintenance contractor is able to shadow the eZ-Audit system in production prior to assuming full operations responsibility. During the period of Mod Partner operations, the maintenance contractor will first shadow, then co-pilot the eZ-Audit system in production to learn the operations procedures prior to assuming total responsibility.
- **Procedural Walkthroughs** (2 weeks) – Mod Partner will transition all procedures, checklists, and other job aids used in the operations of the system to the maintenance contractor. The following list of procedures will be taught:
 - System Administrator/Oracle DBA -
 - Monitor Production System
 - Review System Usage and Contact Reports
 - Review DBA usage
 - Monitor selected tables
 - Contact VDC
 - Backup, Recover, Restart
 - Administrator / Help Desk -
 - Communicate with End Users on Help Desk requests
 - Research /resolve end user problems
 - Maintenance/Development -
 - Make System changes
 - Make Application changes
 - Restore Test data

ACTION STEPS: *Finalize TTS Plan once Approach is confirmed.*

Transition Workplan and Schedule

The TTS Leads should jointly develop a workplan that identifies all of the tasks necessary to achieve the transition milestones. Assignments should be made to specific individuals to ensure accountability for all tasks. One TTS Lead should be responsible for maintaining and updating the workplan on a weekly basis, notifying the executive sponsor and senior management of slippage, and providing a status to all stakeholders about transition progress.

Below is a list of key milestones to be included in the workplan:

- Assign FSA and Mod Partner TTS Leads
- Identify Work Effort
- Estimate Cost of Work Effort
- Identify Maintenance Organizations
- Secure Operational Funding
- Finalize Operational Contracting Vehicle

- Finalize TTS Plan
- Conduct Transition Activities
- Achieve Transition Sign-Off

The Transition Schedule is a detailed list of specific transition events, dates, participants, and objectives. The Schedule should be finalized several weeks' prior to the start of transition activities and circulated to all transition participants.

ACTION STEPS: *Complete Transition Workplan and Transition Schedule.*

Transition Exit Criteria

All parties must agree to exit criteria that will serve as the basis for marking the completion of the transition period. In addition, exit criteria should be identified for specific outcomes that are desired at each Technical Exchange Meeting. Examples of appropriate exit criteria are: maintenance contractor signs off on each component of code review; maintenance contractor demonstrates understanding of database persistence; development contractor has followed up on all items listed in the Parking Lot.

ACTION STEPS: *Identify exit criteria once Transition Schedule has been defined.*

Transition Preparation and Dependencies

The following are dependencies for the start of the transition period:

- The transition schedule must have been set.
- All functional and technical documentation deemed critical for the transition must be in a Final or Final Draft state.
- All parties (FSA, Mod Partner, maintenance contractor) must have identified resources who can devote all or part-time to transition activities. Vacation and training schedules must be factored in. Once identified, these resources must be available according to the transition schedule. Transition activities cannot be postponed or cancelled due to resource unavailability.
- The maintenance contractor must have access to the VDC Dev or Test environments to participate in the Hands-On Demonstrations.
- The system must be in a state conducive to being viewed for walkthroughs and testing.

ACTION STEPS: *Ensure all transition dependencies have been met before Kick Off meeting.*

Transition Inventory

A complete inventory of all software and solution related items that must be transitioned to the maintenance contractor should be listed. This inventory may include software descriptive documentation, support software, reusable software assets, and pertinent data from the corrective action, configuration management solutions, and maintenance documentation.

The table below is a starting list of software components. This list should be finalized prior to transition activities.

System Component	Product/FSA System
Firewall	IBM Checkpoint
Load Balancer	IBM eND
Web Server	IBM HTTP Server
Application Server	IBM WebSphere Application Server Advanced Edition
Database	Oracle 8i
User Profile Database	iPlanet Directory Server
Enterprise Application Integration (EAI)	IBM MQSeries
Document Storage & Imaging	ERM
Non Financial & Audit School Data	PEPS ¹

ACTION ITEM: Finalize inventory of software and eZ-Audit solution-related items necessary for transition to maintenance contractor.

Transition Configuration Control

Configuration Management (CM) enables the controlled and repeatable management of information technology (IT) architecture components as they evolve in all stages of development and maintenance. CM is especially important during the transition of software, documentation, and other eZ-Audit solutions from the development contractor to the maintenance contractor.

During the transition period, CM will be maintained through the following six processes:

- **Change Control** – The master versions of all documentation and software will be retained by the development contractor until all transition activities are complete and sign-off has been achieved.
- **Baselining** – During the transition period, the development contractor will retain and communication information regarding baselining of software and documentation.
- **Archival** - TBD
- **Migrations** – Code migrations will follow the approved eZ-Audit project CM process.
- **CM audit** – A CM audit can be performed at any time during TTS.
- **Reporting** - TBD

As these processes are further defined as they relate to transition, this Plan should be updated accordingly.

Transition Readiness

The maintenance organization will undergo a transition readiness test to verify their capability to support the eZ-Audit solution. This test will be in the form of a Readiness Checklist. The Readiness Checklist is developed during the course of the transition period. The checklist should include all items on the critical path for successful transition of the eZ-Audit system.

ACTION STEPS: Create Transition Readiness Checklist.

Transition Status Reporting

Because of the importance of the transition activities to the overall success of the eZ-Audit application, status reporting procedures will be very critical.

During the Planning Phase, TTS status should be provided to all eZ-Audit stakeholders through the following channels:

- **Status Meetings** - A TTS report should be incorporated into each weekly Mod Partner status meeting and bi-weekly eZ-Audit status meeting. Updates should include, but are not limited to, workplan updates, progress towards key milestones, and delegation of transition activity tasks to team members.
- **Status Reports** - The TTS Leads should provide a bi-weekly update to the eZ-Audit project manager for inclusion in the bi-weekly status report.

During the Transitioning Phase, it will become important not only to keep all stakeholders apprised of transition status, but also to document the transition activities in detail. During Transitioning, the following activities should be added to those conducted in Planning:

- **Meeting Minutes** - Meeting minutes should be captured during every Technical Exchange Meeting, Documentation Review, Hands-On session, Shadowing session, or other transition activity. The meeting objectives, discussion points, and outcomes should be documented and circulated to all participants.
- **Operations Transition Closeout Report** - This report will serve as a final summary of all transition activities. It will include the Transition Schedule, Meeting Minutes, Readiness Checklist

ACTION STEP SUMMARY

The table below summarizes the Action Items referenced throughout this Plan. This section can be used as a checklist of critical milestones to achieve to ensure a smooth transition of the eZ-Audit system. These steps will also be included as milestones in the transition workplan.

Action Step	Responsibility	Due Date
PLANNING		
1. Select FSA and Mod Partner TTS Team Leads. Discuss skills and responsibilities required for the role.	Randy Wolf	June 21, 2003
2. Determine scope of operations and maintenance eZ-Audit work. Determine skills required to support work.	FSA and Mod Partner TTS Team Leads	July 12, 2003
3. Estimate required funding levels to support maintenance and operations work. Ensure funding is secured.	FSA and Mod Partner TTS Team Leads	July 31, 2003
4. Get support organization contracting vehicle established.	FSA TTS Team Lead	August 23, 2003
TRANSITIONING		
5. Finalize TTS Plan.	FSA and Mod Partner TTS Team Leads	July 31, 2003
6. Complete Transition Workplan.	FSA and Mod Partner TTS Team Leads	August 31, 2003
7. Complete Transition Schedule.	FSA and Mod Partner TTS Team Leads	August 31, 2003
8. Identify exit criteria once Transition Schedule has been defined.	All Parties	August 31, 2003
9. Ensure all transition dependencies have been met before Kick Off meeting.	FSA and Mod Partner TTS Team Leads	September 30, 2003
10. Schedule and Conduct Transition Kick-Off Meeting.	All Parties	October 2003
11. Finalize inventory of software and eZ-Audit solution inventory items.	FSA and Mod Partner TTS Team Leads	September 30, 2003
12. Create Transition Readiness Checklist.	FSA and Mod Partner TTS Team Leads	September 30, 2003

Appendix A: Sample Application Readiness Criteria